PTO/SB/08a/b (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of Sheet 1

| Complete if Known | | |
|------------------------|------------------------|--|
| Application Number | 09/961,201-Conf. #6537 | |
| Filing Date | September 24, 2001 | |
| First Named Inventor | Vishva M. Dixit | |
| Art Unit | 1644 | |
| Examiner Name | P. N. Huynh | |
| Attorney Docket Number | PF335D2 | |

| U.S. PATENT DOCUMENTS | | | | | |
|-----------------------|--------------|--|--------------------------------|--|---|
| Examiner Initials* | Cite No.1 | Document Number Number-Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | | | | |

2

| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|--------------|---|-----------------------------------|--|---|--|
| Examiner Initials* | Cite No.1 | Foreign Patent Document Country Code ³ -Number ⁴ -Nind Code ⁵ (# known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | |
| TANK | AA | WO-93/00353 | 01-07-1993 | • | | |

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that Issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

| | | NON PATENT LITERATURE DOCUMENTS | |
|----------------------|--------------|---|----|
| Examiner Initials | Cite No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T² |
| Post | AB | Duan et al., "ICE-LAP3, a Novel Mammalian Homologue of the Caenorhabditis elegans Cell Death Protein Ced-3 Is Activated during Fas- and Tumor Necrosis Factor-induced Apoptosis," The Journal of Biological Chemistry, Vol. 271 (3), pp. 1621-1625 (1996). | |
| | AC | Fernandes-Alnemri et al., "Mch3, a Novel Human Apoptotic Cysteine Protease Highly Related to CPP32," Cancer Research, Vol. 55, pp. 6045-6052 (1995). | |
| | AD | GenBank Accession No. H39637, 8/4/95, Hillier, L. et al., Homo Sapiens cDNA Clone 1819835. | |
| | AE | GenBank Accession No. T97582, 4/16/95, Hillier, L. et al., Homo Sapiens cDNA Clone 1216935. | |
| | AF | Duan et al., "ICE-LAP6, a Novel Member of the ICE/CED-3 Gene Family, Is Activated by the Cytotoxic T Cell Protease Granzyme B," The Journal of Biological Chemistry, Vol. 271 (28), pp. 16720-16724 (1996). | |
| | AG | Srinivasula et al., "The Ced-3/Interleukin 1-beta Converting Enzyme-like Homolog Mch6 and the Lamin-cleaving Enzyme Mch2-alpha Are Substrates for the Apoptotic Mediator CPP32," The Journal of Biological chemistry, Vol 271 (43), pp. 27099-27106 (1996). | |
| | АН | Orkin et al., "Report and recommendations of the panel to assess the NIH investment in research on gene therapy," issued by the U.S. Nation Institutes of Health, 12/95. | |
| | Al | Ngo et al., "Computational complexity, protein structure prediction, and the Levinthal paradox," The Protein Folding Problem and Teriary Structure Prediction," Merx et al., Birkhauser Boston: Boston MA, pp. 433 and 492-495 (1994). | |
| | AJ | Fernandes-Alnemri et al., "CPP32, a novel human apoptotic protein with homology to Caenorhabditis elegans cell death protein ced-3 and mammalian interleukin-1 beta converting enzyme," Journal of Biological Chemistry, Vol. 269 (49), pp. 30761-30764 (1994). | |
| | AK | Cryns et al., "The cutting edge: caspases in apoptosis and disease," pages 177-210, When Cells Die, eds. Lockshin et al. New York: Willey-Liss, Inc. (1998). | |
| V | AL | PA Henkart, "ICE family proteases: mediators of all apoptotic cell death?," Immunity Vol. 4, pages 195-201, (1996). | |

| Examiner Signature | PSL 1. | The | Date Considered | 4/27/04 |
|-------------------------|--------|-----|--------------------|---------|
| | 7 / | () | | |

PTO/SB/08a/b (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are require

Substitute for form 1449A/B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

2 2 of Sheet

| Complete if Known | | | |
|------------------------|------------------------|--|--|
| Application Number | 09/961,201-Conf. #6537 | | |
| Filing Date | September 24, 2001 | | |
| First Named Inventor | Vishva M. Dixit | | |
| Art Unit | 1644 | | |
| Examiner Name | P. N. Huynh | | |
| Attorney Docket Number | PF335D2 | | |

| Phy | AM | Alnemri et al., "Cloning and Expression of four novel isoforms of human interleukin-1beta converting enzyme with different apoptotic activities," Journal of Biological Chemistry, 03 March 1995, Vol 270, No. 9, pages 4312-4317. | |
|-----|----|--|--|
| | AN | Tewari et al., "Yama/CPP32beta, a mammalian homolog of ced-3 is a cmA-inhibitable protease that cleaves the death substrate poly (ADP-ribose) polymerase," Cell, 02 June 1995, Vol. 81, No. 5, pages 801-809. | |
| | AO | Wang et al., "Ich-1, an ICE/ced-3 related gene, encodes both positive and negative regulators of programmed cell death," Cell 09 September 1994, vol. 78, pages 739-750. | |
| | AP | Thomberry et al., "Interleukin-1beta-converting enzyme and related proteases as potential targets in inflammation and apoptosis," Perspectives in Drug Discovery and Design, July 1995, Vol. 2, No. 3, pages 389-399. | |
| | AQ | Kamens et al, "Identification and characterization of ICH-2, a novel member of the interleukin-1beta-converting family of cysteine proteases," Journal of Biological Chemistry, 23 June 1995, Vol. 270, No. 25, pages 15250-15256. | |

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

| Examiner Signature | Dely J. He | Date Considered | 4/37/04 |
|-----------------------|------------|--------------------|---------|
| | | | |

^{&#}x27;Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.